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GE Docket No. 130699 (SPLG 12553-1014)

**CHECKLIST 3****RESPONSE TO EACH SUBSTANTIVE NON-FINAL OFFICE ACTION**(NOT TO BE USED IN RESPONSE TO A REQUIREMENT  
FOR RESTRICTION WITH A 30-DAY RESPONSE PERIOD)

- |   | YES                                     | NO                                      | NA                                      |
|---|---|---|---|
| 1. If there is a restriction requirement, have you consulted with the GE Counsel to determine whether any divisional applications should be filed now? Check NA only if no restriction requirement.   | [ ]                                     | [ ]                                     | [ <input checked="" type="checkbox"/> ] |
| 2. Have you assessed whether new claims should be added or claims broadened or narrowed in view of business interest, commercialization activity by business or competitor or the prior art?  | [ <input checked="" type="checkbox"/> ] | [ ]                                     | [ ]                                     |
| 3. Is the inventorship correct based on the presently pending claims?   | [ <input checked="" type="checkbox"/> ] | [ ]                                     | [ ]                                     |
| 4. Have you communicated to the inventors the duty to disclose obligation regarding information that may be material to the disclosed or claimed invention?   | [ <input checked="" type="checkbox"/> ] | [ ]                                     | [ ]                                     |
| 5. Have you determined whether any previously-unsubmitted material prior art has been cited in any foreign corresponding applications? Check NA only no foreign corresponding applications have been filed.   | [ <input checked="" type="checkbox"/> ] | [ ]                                     | [ ]                                     |
| 6. If new material information has been discovered, have you prepared an IDS to submit all material information including, but not limited to: (a) prior art cited during the prosecution of any Legally Related applications or foreign corresponding applications; (b) rejections of substantially similar claims in any domestic or foreign office actions; (c) prior art uncovered in any search of the prior art applicable to the disclosed or claimed invention; (d) material information regarding the use (including GE products), sale, offer for sale, publication, or disclosure applicable to the disclosed or claimed invention; and (e) any other material information known to you? Check NA only if no new material information has been discovered. | [ ]                                     | [ ]                                     | [ <input checked="" type="checkbox"/> ] |
| 7. Has the front page of the Office action been reviewed to determine whether all necessary blocks have been checked off, including, but not limited to, boxes relating to acknowledgements of priority and review of Information Disclosure Statements.  | [ <input checked="" type="checkbox"/> ] | [ ]                                     | [ ]                                     |
| 8. Is the response to this office action being submitted within two months of the Non-Final Office Action?  | [ ]                                     | [ <input checked="" type="checkbox"/> ] | [ ]                                     |

This is to certify that the response for this application has been prepared in conformity with the GE Manual for US-Originated Global Patent Applications including this Checklist 3 and that any "NO" answers have been discussed with the GE Counsel prior to filing the response.

A COPY OF THIS CHECKLIST IS TO BE RETAINED AS A PERMANENT PART OF THE FILE OF THIS APPLICATION.

\_\_\_\_\_  
Signature of Preparing IP Attorney/Agent\_\_\_\_\_  
August 3, 2006\_\_\_\_\_  
Date\_\_\_\_\_  
Evan R. Sotiriou\_\_\_\_\_  
Name of Preparing IP Attorney/Agent\_\_\_\_\_  
The Small Patent Law Group LLP\_\_\_\_\_  
Name of Firm or GE Business

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*The Small Patent Law Group LLP*

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**CERTIFICATE OF FACSIMILE TRANSMISSION TO THE  
UNITED STATES PATENT AND TRADEMARK OFFICE**

**DATE: August 3, 2006**

**Mail Stop: AMENDMENT**

**Art Unit: 3744**

**Fax: 571-273-8300**

**From: Evan R. Sotiriou**

**: RE:**

**: Serial No.: 10/695,318**

**: Applicant: Jorge Guillermo Milke-Rojó, et al.**

**: Filed: October 28, 2003**

**: Atty. Dkt. No.: 130699 (SPLG 12553-1014)**

**: Title: APPARATUS AND METHOD FOR**

**: THERMO-ELECTRIC COOLING**

***DOCUMENTS SUBMITTED WITH TRANSMISSION:***

- Certificate of Facsimile Transmission (1 pg.)
- Amendment in Response to the Office Action dated May 4, 2006 (10 pgs.)
- Amendment Transmittal (1 pg.)

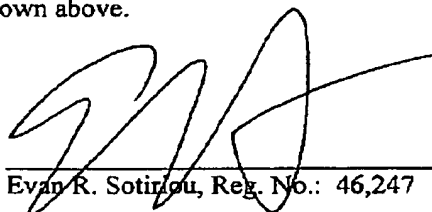
***Total pages including cover page: 12***

***If all pages are not received, please contact: Laura Davis at 314-584-4087***

**CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that these papers are being facsimile transmitted to the U.S. Patent and Trademark Office, Facsimile Number 571-273-8300, on the date shown above.

Date: August 3, 2006



\_\_\_\_\_  
Evan R. Sotiriou, Reg. No.: 46,247

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Docket No. 130699 (SPLG 12553-1014)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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**AUG 03 2006**

Applicant: Jorge Guillermo-Milke-Rojo, et al. :  
Serial No.: 10/695,318 : Group No.: 3744  
Filed: October 28, 2003 : Examiner: Jiang, Chen Wen  
For: APPARATUS AND METHOD FOR :  
THERMO-ELECTRIC COOLING :

**Mail Stop: AMENDMENT**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

**TRANSMITTAL**

1. Transmitted herewith is:
- Certificate of Facsimile Transmission (1 pg.)
  - Amendment Transmittal (1 pg.)
  - Amendment in response to the Office Action dated May 4, 2006 (10 pgs.)

**STATUS**

2. Applicant  
X is other than a small entity.

**EXTENSION OF TERM**

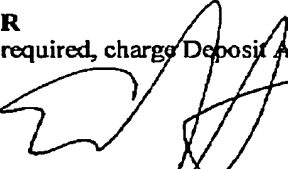
X Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

**FEE FOR CLAIMS**

X No additional fee for Claims is required.  
X If any additional extension and/or fee is required, charge Deposit Account No. 07-0845.

**AND/OR**

X If any additional fee for claims is required, charge Deposit Account No. 07-0845.

  
Evan R. Sotiropoulos  
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314-584-4081

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**PATENT  
130699 (SPLG 12553-1014)**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant:** Jorge Guillermo Milke-Rojo, et al.

**Serial No.:** 10/695,318

**Filed:** October 28, 2003

**For:** APPARATUS AND METHOD FOR  
THERMO-ELECTRIC COOLING

: Art Unit: 3744  
:  
: Examiner: Jiang, Chen Wen  
:  
:  
:

**AMENDMENT**

**Mail Stop: AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

In response to the Office Action dated May 4, 2006, please amend the above-identified patent application as follows.